

The following is an update on the steps the Minnesota Department of Commerce is taking to keep our staff and our stakeholders as safe as possible during the COVID-19 stay at home order.

As of April 2, 2020:

- The offices of the Minnesota Department of Commerce remain open, but most of the Financial Institutions - Securities staff are teleworking from home.

You may reach the staff of the Financial Institutions - Securities Unit via their state email or by leaving them a voicemail message on their state office line. All staff will be responding to email and voicemail messages throughout the day every business day during this telework period. If you are going to contact us by phone, be sure to leave your email contact information in the voicemail. Also, for those who may not have specific contact information for staff, please contact us at 651-539-1638 or securities.commerce@state.mn.us.

- Securities registration staff are continuing to process licensing/registration applications through the CRD/IARD systems. Requests for supplemental information may be submitted via email.
- Field examiner staff are conducting streamlined, remote examinations using phone and email correspondence in lieu of traditional on-site examinations during this time.
- Enforcement staff are limiting in-person contacts with witnesses and regulatory partners. **We are** using all forms of telecommunications technology, primarily email, with phone calls being scheduled to complete our work in a virtual environment. We will continue to follow CDC guidance and any executive orders that direct social distancing and sheltering as applicable.
- We are sensitive to the challenges that the crisis has created for our registered community and our constituents. Please know that our staff will be responsive and receptive to requests for extensions and other appropriate forms of regulatory relief arising from service and staff disruptions occasioned by COVID-19.

The Financial Institutions – Securities Unit are following all directives and guidance issued by Governor Tim Walz and Department of Health Commissioner Jan Malcom, related to COVID-19, including those related to travel and public gatherings.

For your safety and that of our staff, we ask you to please refrain from unscheduled walk-in visits to the office. Please work directly with agency staff via telephone or email on matters requiring staff attention.

[Important information on COVID-19 is available](#). Related regulatory information is [available on the agency's website](#).

Additional securities regulatory information related to COVID-19 for jurisdictions beyond Minnesota can be found on the website of the [North American Securities Administrators Association](#), of which the Minnesota Department of Commerce is a member.

Please keep yourself informed and stay safe.

If you have questions or concerns about this message, please don't hesitate to contact the Securities staff at the following phone number or email address; if you are going to contact us by phone, be sure to leave your email contact information in the voicemail: 651-539-1638 or securities.commerce@state.mn.us.